

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Friedrich *et al*

Application No.: 09/750,456

Filed: December 28, 2000

Title: Novel Mutated Mammalian Cells and Animals



Group Art Unit: 1653

Attorney Docket No.:  
LEX-0286-USA

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF APPLICATION - FILING DATE GRANTED**

Assistant Commissioner for Patents  
Washington, D.C. 20231

**Attention: Box Missing Parts**

Sir:

In response to the "Notice to File Missing Parts of Application - Filing Date Granted" mailed by the U.S. Patent and Trademark Office on April 3, 2001, Applicants submit the following documents to complete the filing requirements of the above-identified application:

1. Executed Declaration and Power of Attorney;
2. Substitute Specification;
3. Substitute Drawing (Figure 1);
4. Verified Statement; and
5. Sequence Listing on diskette and paper.

Applicants also submit herewith the following document for the above-identified application:

6. Petition for Extension of Time of two months; and
7. Request for Correction of Filing Receipt.

The U.S. Patent and Trademark Office is hereby authorized to charge the following fees to Lexicon Genetics Incorporated Deposit Account No. 50-0892:

- |   |          |
|---|----------|
| 1. Statutory basic filing fee   | \$710.00 |
| 2. Surcharge Fee for filing declaration on a date later than the filing date of the application per 37 CFR 1.492(e) | \$130.00 |

**TOTAL**

**\$840.00**

3. The Commissioner is hereby authorized to charge any additional fees associated with this paper communication or credit any overpayment to Deposit Account No. 50-0892.

The documents submitted herewith complete the filing of the above patent application. This form is being submitted in duplicate.

Respectfully submitted,

August 2, 2001

Date

Lance K. Ishimoto by ~~PATENT~~ Reg. No. 41,866

Lance K. Ishimoto

Reg. No. 41,866

LEXICON GENETICS INCORPORATED  
4000 Research Forest Drive  
The Woodlands, TX 77381  
Telephone No.: (281) 863-3333

Enclosures

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of: Friedrich *et al.*

Serial No.: 09/750,456

Group Art Unit: 1653

Filed: December 28, 2000

Examiner: Not yet assigned

For: Novel Mutated Mammalian Cells and Animals Attorney Docket No.: LEX-0286-USA

**REQUEST FOR CORRECTION OF FILING RECEIPT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Enclosed is a copy of the filing receipt for the above-captioned application, as corrected herein by Applicants. Please correct the "Domestic Priority data as claimed by applicant" to read as follows:

THIS APPLN CLAIMS BENEFIT OF 09/728,445 11/30/00  
which claimed priority to 60/168,358 12/1/99

This priority information was listed in the first paragraph of the Specification. A copy of the first page of the Specification is enclosed.

Please make the appropriate correction and issue a corrected filing receipt. Applicants believe that no fee is due with this Request for Correction of Filing Receipt because the incorrect continuing data reflects a PTO error. However, please charge any required fee or credit any refund to Lexicon Genetics Incorporated Deposit Account No. 50-0892. A copy of this sheet is enclosed.

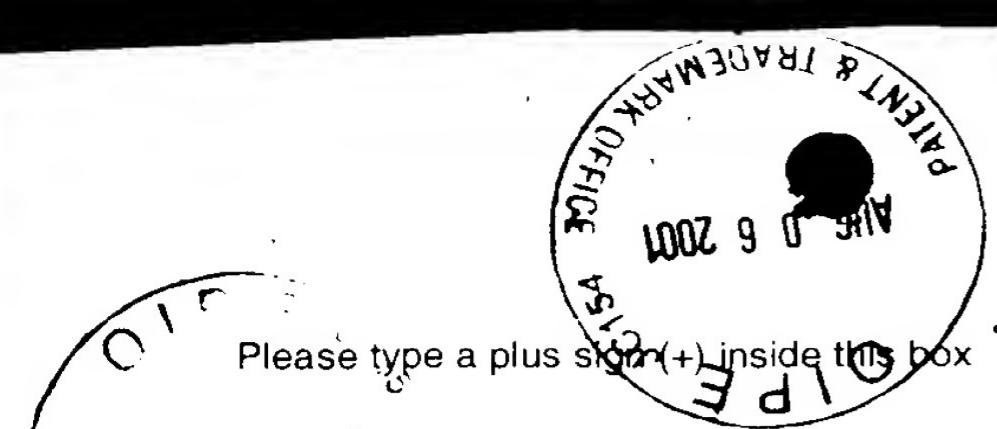
Respectfully submitted,

Date 5/21/01

Lance K. Ishimoto, Reg. No. 41,866  
Lance K. Ishimoto (Reg. No. 41,866)

LEXICON GENETICS INCORPORATED  
4000 Research Forest Drive  
The Woodlands, TX 77381  
(281) 863-3333

Enclosures



PTO/SB/21 (08-00)

Approval for use through 10/31/2002 OMB 0651-0031  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Please type a plus sign (+) inside this box

AUG 6 2001

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PATENT & TRADEMARKS

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

	<b>Application Number</b>	09/750,456	
	<b>Filing Date</b>	Dec 28, 2000	
	<b>First Named Inventor</b>	Friedrich, Glenn	
	<b>Group Art Unit</b>	1653	
	<b>Examiner Name</b>	unknown	
Total Number of Pages in This Submission	27	Attorney Docket Number	LEX-0286-USA

### ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  return postcard; Substitute Spec; Substitute Drawing; Verified Statement; Sequence Listing on diskette and paper; return copy of Notice of MP; copy of filing receipt (corrected); Request for Correction of Filing Receipt; copy of page one of Specification
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		
Remarks		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Lance K. Ishimoto Reg. No. 41,866 Lexicon Genetics Incorporated
Signature	
Date	August 2, 2001

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: August 2, 2001

Typed or printed name	Drenda Thomas
Signature	
Date	August 2, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



UNITED STATES PATENT AND TRADEMARK OFFICE



Page 1 of 4

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
--------------------	-------------	--------------	---------------	----------------	----------	------------	------------

09/750,456 12/28/2000 1653 0.00 LEX-0286-  
USA 15 7 2

24231  
LEXICON GENETICS INCORPORATED  
4000 RESEARCH FOREST DRIVE  
THE WOODLANDS, TX 77381



CONFIRMATION NO. 6630

FILING RECEIPT



OC000000005929423

Date Mailed: 04/03/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Glenn Friedrich, Residence Not Provided;

Domestic Priority data as claimed by applicant

~~THIS APPLN CLAIMS BENEFIT OF 60/168,358 12/01/1999~~

which claims benefit of 60/168,358 12/1/99

Foreign Applications

If Required, Foreign Filing License Granted 03/28/2001

Projected Publication Date: Request for Non-Publication Acknowledged

Non-Publication Request: Yes

RECEIVED

Early Publication Request: No

APR 09 2001

Title

Novel mutated mammalian cells and animals

Preliminary Class

435

Per MNK

---

Data entry by : KELECHA, ASEGEDECH

Team : OIPE

Date: 04/03/2001

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

Assistant Commissioner for Patents - Box Missing Parts **RECEIVED**

Date Mailed: August 2, 2001

AUG 13 2001

U.S. Appl. Ser. No.: 09/1750,456

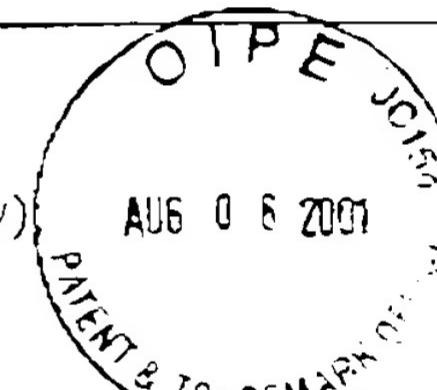
Inventors: Friedrich et al

Per...MK

Title: Newly Mutated Mammalian Cells and Animals

Attorney Docket No.: LEX-0286 -USA

- Response to Notice to File Missing Parts(original & copy)  
Part 2 of Notice to File Missing Parts
- Declaration - executed
- Verified Statement Concerning Sequence Listing:  
Sequence Listing in Computer Readable Form on Diskette & paper 236 pages
- Return Postcard
- Petition for Extension of Time (original & copy)
- Transmittal Form
- Other: Substitute Spec/figure 1; Request for Conf.R + copy of page one only





UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILED RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/750,456	12/28/2000	Glenn Friedrich	LEX-0286-USA

**CONFIRMATION NO. 6630**

24231

LEXICON GENETICS INCORPORATED  
4000 RESEARCH FOREST DRIVE  
THE WOODLANDS, TX 77381



\*OC000000005929424\*

Date Mailed: 04/03/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

**FILED UNDER 37 CFR 1.53(b)**

***Filing Date Granted***

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 840.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- A substitute specification in compliance with 37 CFR 1.52 because:
  - Papers contain improper margins. *Each sheet must have a left margin of at least 2.5 cm (1") and top, bottom and right margins of at least 2.0 cm (3/4")*
- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a

bottom margin of at least 1.0 cm. (3/8 inch);

- This application does not contain a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). Applicant must provide such statement. If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

**For questions regarding compliance to these requirements, please contact:**

- **For Rules Interpretation, call (703) 308-4216**
- **To Purchase PatentIn Software, call (703) 306-2600**
- **For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov**

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE